Sponsor Firm Application

|  |
| --- |
|  |
| 1 Name of applicant |  |       |
|  Trading name (if different) |       |
|  Address |  |       |
|  |  |       |
|  |  |       |
|  Tel |  |       |
| 2 Country of Incorporation |       |
| 3 Name of contact |  |       |
| 4 Please indicate any recognised regulatory  or professional body of which the applicant  is a member |       |
|  |       |
|  |       |
| 5 If appropriate, state the applicant’s  lead regulator |       |
| 6 Describe the applicant’s experience as a professional adviser in the investment funds industry in the last three years (continue on a separate sheet where necessary) |
| Name of fund |  | Role & duties carried out |  | Dates/timeframe  |
|       |  |       |  |       |
|       |  |       |  |       |
|       |  |       |  |       |
|       |  |       |  |       |
|       |  |       |  |       |
|       |  |       |  |       |
|       |  |       |  |       |
|  |
| 7 State the number of executive staff who will be involved in sponsor activities |
|  A sponsor employee form must be completed in respect of each employee who will be engaged in sponsorship work. |
| 8 What procedures and controls are in place to ensure that personnel do not act beyond  their proper authority? |
|       |
| **Note:** copies of procedures may be requested during the application process. |
| 9 Is there any other information which you think may be relevant  to Euronext Dublin in considering this application?(if the answer is yes, please give details on a separate sheet) | Yes/No |
| Section 10 is for applicants applying to become Tier 2 Sponsor only  |  |
| 10 Please provide details of how the applicant proposes to comply with Rule 2.3(c) of Euronext Dublin’s Rules for Investment Fund Sponsors.  |   |
|  |

|  |
| --- |
| Sponsor’s undertaking to Euronext Dublin (to be signed by all applicants). |
| We apply for approval as a Tier 1 Sponsor/Tier 2 Sponsor for the purpose of the Rules for Investment Fund Sponsors (the “Rules”). We undertake with you that if you grant this application: |
| *i We will discharge our responsibilities as a Tier 1 Sponsor/Tier 2 Sponsor under the Rules from time to time.**ii We will advise you in writing without delay of our resignation or dismissal, giving details of any relevant facts or circumstances.**iii We will not perform the role of sponsor for any organisation from which we are not independent except with your specific permission.**iv We acknowledge that you may censure us and/or remove our name from the Register of Sponsors maintained by you if you consider that we are in breach of our responsibilities and that you may publicise the fact that you have done so and the reasons for your action.*We declare that the information supplied is complete and correct and agree to comply with the notification requirements contained in the Rules.We have read the eligibility criteria for sponsors as set out in the Rules and believe that this application conforms to the criteria (except as specifically notified to you with this application). |
| This undertaking must be signed by two Directors of the Sponsor, or, in the case of a Partnership, by two Partners.  |
|  |
| Signed by |
|  |  |
| on behalf of |       |
|  |
| Signed by |
|  |  |
| on behalf of |       |
|  |

Your attention is drawn to the Privacy Statement of the Irish Stock Exchange trading as Euronext Dublin, accessible at: <http://www.ise.ie/Privacy-Statement/>. This outlines how and why your personal data may be processed by us when you, or a company with which you are connected, engage with us or avail of our services. If you are acting on behalf of a company engaging with or availing of the services of Euronext Dublin, you must ensure that our Privacy Statement has been brought to the attention of all persons whose personal data we may process in the course of our relationship with your company (e.g. agents, officers, employees and other personnel).